

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application No.	10/766,618
Filing Date	January 27, 2004
First Named Inventor	Yoshihide Senzaki
Examiner Name	To Be Assigned
Group Art Unit	2811
Attorney Docket No.	A-70028-1/MSS/TJH (463035-936)
Total Number of Pages in This Submission	19

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached - check for \$1,150.00	<input checked="" type="checkbox"/> Drawing(s) ( Figs. 1-5) and Cover Sheet to Draftsperson	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input checked="" type="checkbox"/> Petition for Extension of Time - Three Months (1 pg.)	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input checked="" type="checkbox"/> Executed Power of Attorney (1 pg.)	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Executed Declaration for Patent Application (2 pgs.), copy of Notice to File Missing Parts
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	mailed June 21, 2004 (2 pgs.), check no. <u>6939</u> in the amount of
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, No. of CD(s) _____	\$1150.00, and self-addressed stamped Postcard.
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.53(b) (2 pgs.)		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Maria S. Swiatek, Esq., Reg. No. 37,244 DORSEY & WHITNEY LLP 4 Embarcadero Center, Suite 3400 San Francisco, CA 94111 Telephone: 650-494-8700 Facsimile: 650-494-8771	Customer Number 32940
Signature	<i>Maria Swiatek</i>	
Date	November 22, 2004	

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with Sufficient postage as first class mail in an envelope addressed to Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: _____			
Typed or printed name	Kari Bateman		
Signature	<i>Kari Bateman</i>	Date	November 22, 2004

# APPLICATION FEE TRANSMITTAL SHEET (FY 2004)

Complete if Known

Application No.	10/766,618
Filing Date	January 27, 2004
First Named Inventor	Yoshihide Senzaki
Group Art Unit	2811
Examiner Name	To Be Assigned
Atty. Docket Number	A-70028-1/MSS/TJH (463035-936)

## METHOD OF PAYMENT (Check One)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account No.: 50-2319

Deposit Account Name: DORSEY & WHITNEY LLP

☒ Charge any additional fee required under 37 C.F.R. 1.16 and 1.17 to:

Deposit Account No.: 50-2319

Deposit Account Name: DORSEY & WHITNEY LLP

☒ Applicant claims small entity status (see 37 C.F.R. 1.27)

2. ☒ Check Enclosed in the amount of \$320.00

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee	Small Entity Fee	Fee Description
160	80	<input type="checkbox"/> Provisional Filing Fee
790	395	<input type="checkbox"/> Utility Filing Fee
350	175	<input type="checkbox"/> Design Filing Fee
790	395	<input type="checkbox"/> Reissue Filing Fee

Subtotal (1)

### 2. EXTRA\* CLAIM FEES

Number Claims	Prior	Extra	Fee from Below*	Fee Paid
Total	20	=	x \$18.00	= \$
Indep.	3	=	x \$88.00	= \$
Multiple Dependent Claims	=	x	\$300.00	= \$

Subtotal (2)

### \*Calculation of Extra Claim Fees

Large Entity Fee	Small Entity Fee	Fee Description
18	9	Claims in excess of 20
88	44	Independent claims in excess of 3
300	150	Multiple dependent Claim
88	44	Reissue independent claims over original patent
18	9	Reissue claims in excess of 20 and over original patent

## FEE CALCULATION (Continued)

### 3. ADDITIONAL FEES

Large Entity Fee	Small Entity Fee	Fee Description	Fee paid
50	25	Surcharge - late provisional filing fee or cover sheet	
130	65	Surcharge - Late non-provisional filing fee or oath	\$130.00
180	180	Submission of IDS	
40	40	Recording each patent assignment per property (times number of properties)	\$40.00
110	55	Extension for reply within first month	
430	215	Extension for reply within second month	
980	490	Extension for reply within third month	\$980.00
1,530	765	Extension for reply within fourth month	
2,080	1,040	Extension for reply within fifth month	
770	385	Submission After Final 1.129	
330	165	Notice of Appeal	
330	165	Filing a brief in support of an appeal	
290	145	Request for oral hearing	
110	55	Terminal Disclaimer Fee	
130	130	Petitions to the Commissioner	
50	50	Petitions related to provisional applications	
1,330	665	Utility/Reissue Issue Fee (including advance copies)	
480	240	Design Issue Fee (inc. advance copies)	
770	385	Request for Continued Examination (RCE)	
300	300	Publication fee for early, voluntary, or normal publication	
300	300	Publication fee for re-publication	
110	55	Petition to Revive - unavoidable	
1,330	665	Petition to Revive - unintentional	

OTHER FEE (specify):

Subtotal (3)

\$1,150.00

Total Amount of Payment:

\$1,105.00

## Submitted by:

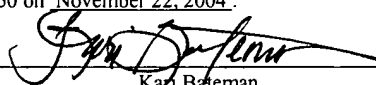
Name: Maria S. Swiatek, Reg. No. 37,244	Telephone: (650) 494-8700
DORSEY & WHITNEY LLP	Four Embarcadero Center, Suite 3400 San Francisco, California 94111-4187
Signature: <i>Maria Swiatek</i>	Customer Number 32940
	Date: November 22, 2004



**PATENT**

Attorney Docket No. A-70028-1/MSS/TJH (463035-936)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:  Yoshihide Senzaki  Serial No.: 10/766,618  Filing Date: January 27, 2004  For: <b><i>Multilayer High K Dielectric Films and Method of Making the Same</i></b>	Examiner: To Be Assigned  Art Unit: 2811  <u>CERTIFICATE OF MAILING</u> I hereby certify that this correspondence and its listed enclosures is being deposited with sufficient postage with the United States Postal Service as First Class Mail addressed to Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on <u>November 22, 2004</u> .  Signed:  Karl Bateman
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**RESPONSE TO NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION  
FILED UNDER 37 C.F.R. 1.53(b)**

Mail Stop Missing Parts  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application, Filed  
Under 37 C.F.R. 1.53(b), mailed June 21, 2004, enclosed are the following documents:

- 1) Transmittal (1 pg.);
- 2) Fee Transmittal (1 pg.);
- 3) Copy of Notice to File Missing Parts mailed June 21, 2004 (2 pgs.);
- 4) Petition for Extension of Time – Three Months (1 pg.);
- 5) Check No. 6939 for \$1,150.00: \$130.00 late declaration surcharge, \$40. 00 for recordation fee, and petition for three-months extension of time (\$980.00);
- 6) Executed Declaration for Patent Application (37 C.F.R. § 1.63), (2 pgs.);
- 7) Executed Power of Attorney by Assignee and Exclusion of Inventor/s under 37 C.F.R. §1.32 and Statement under 37 C.F.R. § 3.73(b), (1 pg.);
- 8) Recordation Cover Sheet and executed Assignment (4 pgs.);
- 9) Letter to Draftsperson and 4 Sheets of Formal Drawings consisting of Figs. 1-5; &
- 10) Return Postcard.

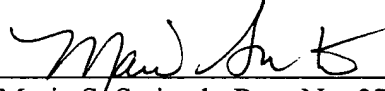
**Serial No.:** 10/766,618

**Filing Date:** January 27, 2004

The Commissioner is hereby authorized to charge any additional fees, including extension fees, to Deposit Account 50-2319 [Order No. A-70028-1/MSS/TJH (463035-936)].

Respectfully submitted,

DORSEY & WHITNEY LLP

By   
Maria S. Swiatek, Reg. No. 37,244  
Attorney for Applicants

Customer No.: **32940**

DORSEY & WHITNEY LLP

Four Embarcadero Center - Suite 3400

San Francisco, California 94111-4187

Tel.: (650) 494-8700

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PA-1079995



PATENT

Docket No.: A-70028-1/MSS/TJH (463035-936)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

**Yoshihide Senzaki**

Serial No: 10/766,618

Filed: **January 27, 2004**

Title: ***Multilayer High K Dielectric Films  
and Method of Making the Same***

Examiner: **Unassigned**

Art Unit No: **2811**

San Francisco, CA 94111

Date: **October 20 2004**

**SUBMISSION OF FORMAL DRAWINGS**

Commissioner for Patents  
**Attention: Official Draftsperson**  
P.O. Box 1450  
Alexandria, VA 22313-1450

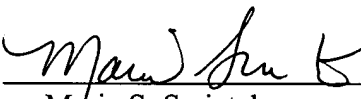
Sir:

Enclosed herewith are four (4) sheets of formal drawings consisting of Figs. 1-5 for the above-identified patent application.

The Commissioner is authorized to charge any underpayment of fees or credit any overpayment to counsel's Deposit Account No. 50-2319 (A-70028-1/MSS (463035-936)).

Respectfully submitted,

Date: November 22, 2004

By:   
Maria S. Swiatek  
Reg. No. 37,244

Customer No.: **32940**  
**DORSEY & WHITNEY LLP**  
Four Embarcadero Center, Suite 3400  
San Francisco, CA 94111-4187  
Telephone: (650) 494-8700  
Facsimile: (650) 494-8771



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/766,618	01/27/2004	Yoshihide Senzaki	A-70028-1/MSS/TJH

CONFIRMATION NO. 3758

## FORMALITIES LETTER



\*OC000000012997870\*

32940  
 DORSEY & WHITNEY LLP  
 INTELLECTUAL PROPERTY DEPARTMENT  
 4 EMBARCADERO CENTER  
 SUITE 3400  
 SAN FRANCISCO, CA 94111



Date Mailed: 06/21/2004

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
  - The drawings have a line quality that is too light to be reproduced (weight of all lines and letters must be heavy enough to permit adequate reproduction) or text that is illegible (reference characters, sheet numbers, and view numbers must be plain and legible) see 37 CFR 1.84(l) and (p)(1)); See Figure(s) 5.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is **\$65** for a Small Entity

11/29/2004 ZJUHA1 00000043 10766618

02 FC:1051

130.00 OP

11/29/2004 ZJUHA1 00000043 10766618

980-00-00

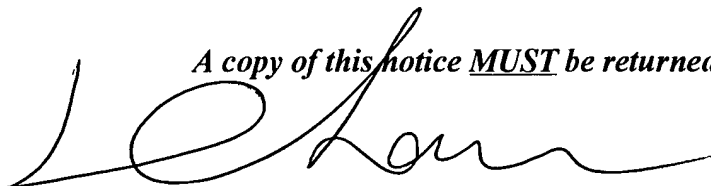
01-FC:1253

- \$65 Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

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*A copy of this notice **MUST** be returned with the reply.*

A handwritten signature in black ink, appearing to read "L. Han", is written over a horizontal line.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE